



RECEIVED #6

SEP 20 2002

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Huang et al.

Serial No. : 09/900,092

Filed : July 5, 2001

Title : DUAL-STATE OPTICAL ISOLATOR MINIMIZED POLARIZATION MODE  
DISPERSION AND SIMPLIFIED FABRICATION PROCESS

Art Unit : Unknown

Examiner : Unknown

TECHNOLOGY CENTER 2800

Commissioner for Patents  
Washington, D.C. 20231REVOCATION AND NEW POWER OF ATTORNEY

Under 37 CFR §3.73(b) FINISAR CORPORATION, a Delaware corporation, certifies that it is the assignee of 100% of the right, title and interest in the patent application identified above by virtue of:

☐ An assignment from the inventors of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_, Frame \_\_ on \_\_.

☒ A chain of title from the inventors of the patent application identified above, to the current assignee as shown below. Copies of the assignments or other documents in the chain of title are attached.

1. From Yonglin Huang, Liren Du, Meng Ma and Shuyun Huang to New Focus, Inc. recorded in the Patent and Trademark Office at Reel 011973, Frame 0889 on 07/05/2001.

2. From New Focus, Inc. to Finisar, Inc. A copy of said assignment is attached hereto.

The undersigned has reviewed all the documents in the chain of title of the patent application identified above and, to the best of undersigned's knowledge and belief, title is in the assignee identified above.

## CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit

Signature

Typed or Printed Name of Person Signing Certificate

9/9/02

Maldonado

GINA MALDONADO

Applicant : Huang et al.  
Serial No. : 09/900,092  
Filed : July 5, 2001  
Page : 2

Attorney's Docket No.: 13837-036001

The undersigned, whose title is supplied below, is empowered to act on behalf of the assignee. The undersigned, acting on behalf of the assignee, hereby revokes all powers of attorney previously granted in the application and appoints:

Frederick H. Rabin	Reg. No. 24,488	Andrew T. D'Amico	Reg. No. 33,375
John B. Pegram	Reg. No. 25,198	Stephan J. Filipek	Reg. No. 33,384
David R. Francescani	Reg. No. 25,259	Samuel Borodach	Reg. No. 38,388
William J. Hone	Reg. No. 26,739	Chris T. Mizumoto	Reg. No. 42,899
Richard P. Ferrara	Reg. No. 30,632	Stuart Macphail, Ph.D.	Reg. No. 44,217
Andrew N. Parfomak	Reg. No. 32,431	Paul A. Levy	Reg. No. 45,748

with full power of substitution and revocation, to prosecute the application and to transact all business in the United States Patent and Trademark Office connected therewith.

All correspondence regarding the application should be sent to:

PAUL A. LEVY  
FISH & RICHARDSON P.C.  
45 Rockefeller Plaza, Suite 2800  
New York, New York 10111

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patents issued thereon.

Respectfully submitted,

Date:

8/5/02

Signed:



Print Name:

FRANK H. LEVINSON

Title:

CTO

## PATENT ASSIGNMENT AGREEMENT

WHEREAS, the undersigned, New Focus, Inc., a Delaware corporation, having a place of business at 5215 Hellyer Avenue, San Jose, California 95138 (the "Assignor") is the owner of the entire rights, title and interest in the patent properties listed on Schedule A (the "Assigned Patent Properties"); and

WHEREAS, Finisar Corporation, a Delaware corporation, having a place of business at 1308 Moffett Park Drive, Sunnyvale, California 94089 (the "Assignee"), is desirous of acquiring the Assigned Patent Properties and any rights in the Assigned Patent Properties for the good and valuable consideration set forth in that Intellectual Property Agreement by and between Assignor and Assignee dated May 10, 2002;

NOW, THEREFORE, in consideration of good and valuable consideration acknowledged by Assignor to have been received in full from Assignee:

1. Effective upon execution, Assignor does hereby sell, assign, transfer and convey unto Assignee, all of its rights, title and interest together with the benefits and privileges in and to all inventions and discoveries set forth in the Assigned Patent Properties.
2. Assignor hereby covenants and agrees to cooperate with Assignee to enable Assignee to obtain, sustain, enforce and enjoy to the fullest extent all rights, title and interest herein conveyed in any country. Such cooperation by Assignor shall include production of pertinent facts and documents, giving of testimony, execution of petitions, oaths, specifications, declarations or other papers, and other assistance all to the extent deemed reasonably necessary or desirable by Assignee, (a) for perfecting in Assignee the rights, title and interest herein conveyed; (b) for filing and prosecuting substitute, divisional, continuing or additional applications covering the Assigned Patent Properties; (c) for filing and prosecuting applications for re-issuance of any of the Assigned Patent Properties; (d) for interference or other priority proceedings involving the Assigned Patent Properties; and (e) for legal proceedings involving the Assigned Patent Properties for infringement actions and court actions; provided, however, that the expense incurred by Assignor in providing such cooperation shall be paid for by Assignee. In the event that Assignee is unable for any reason to secure Assignor's signature to any document required to apply for or execute any patent applications or patents (including improvements, renewals, extensions, continuations, divisions or continuations in part thereof), Assignor hereby irrevocably designates and appoints Assignee and its duly authorized officers and agents as Assignor's agent and attorney-in-fact to act for and in their behalf, and instead of Assignor, to execute and file any such applications and to do all other lawfully permitted acts to further the perfection, prosecution and issuance of patents or other rights therein with the same legal force and effect as if executed by Assignor.
3. Assignor warrants that they have not knowingly conveyed and shall not convey to others any rights in said inventions, discoveries, applications, patents or Assigned Patent Properties; and warrants that they have good right to assign the same to Assignee without encumbrance.
4. The terms and covenants of this Patent Assignment Agreement shall inure to the benefit of Assignee, its successors and assigns, and shall be binding upon Assignor and its successors and assigns.

IN WITNESS WHEREOF, Assignor has executed and delivered this instrument to Assignee effective the  
10th day of May, 2002.

ASSIGNOR: New Focus, Inc.

Today's

Date: 10 May 2002

By: [Signature]

Title: Vice President, Business

STATE OF CALIFORNIA

COUNTY OF Santa Clara ss.

On May 10, 2002 before me, Carol Burke, Notary Public, personally  
appeared Nadine Matus, personally known or proved to me on the basis of  
satisfactory evidence to be the person whose name is subscribed to the within instrument and  
acknowledged to me that he/she executed the same in his/her authorized capacity and that by his/her  
signature on the instrument the person, or the entity upon behalf of which the person acted, executed the  
instrument.

Witness my hand and official seal.

Notary Public

Carol Burke



ASSIGNEE: Finisar Corporation

By:

Title:

President & CEO

STATE OF CALIFORNIA )

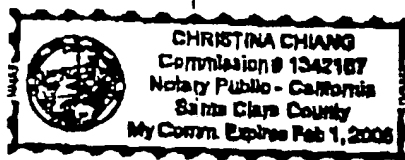
COUNTY OF Santa Clara ) ss.

On June 5, 2002 before me, Christina Chiang, Notary Public, personally appeared Terry Sawls, personally known or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he/she executed the same in his/her authorized capacity and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

Witness my hand and official seal.

Notary Public

Christina Chiang



Schedule A

Assigned Patent Properties

Passives IP  
US Patents  
Patent #

Title	Inventors	Patent Issue Date	Responsible Firm and Attorney	Status
6,049,426 (10629-725)	Ping Xie, Yonglin Huang	04/11/00	WSGR, David Abraham	Maintenance Fee due 10/11/2003
6,052,228 (10629-769)	Ping Xie, Yonglin Huang	04/18/00	WSGR, David Abraham	Maintenance Fee due 10/18/2003
6,175,448 (10629-729)	Ping Xie, Yonglin Huang	01/16/01	WSGR, David Abraham	Maintenance Fee due 07/16/2004
6,212,008 (10629-765)	Ping Xie, Yonglin Huang	04/03/01	WSGR, David Abraham	Maintenance Fee due 10/03/2004
6,282,025 (NFC-00- 001)	Yonglin Huang, Ping Xie	08/28/01	Sierra Patent Group, Tim Brisson	Maintenance Fee due 02/28/05
6,285,498 (10829-792)	Ping Xie, Yonglin Huang	09/04/01	WSGR, David Abraham	Maintenance Fee due 03/04/2005
6,331,913 (NFC-00- 017)	Yonglin Huang, Ping Xie	12/18/01	Sierra Patent Group, Tim Brisson	Maintenance Fee due 08/18/2005
6,363,190 (NFC-99- 007)	Peter Chen	03/26/02	Sierra Patent Group, Tim Brisson	Maintenance Fee due 09/26/2005
6,373,631 (NFC-00- 018)	Yonglin Huang, Ping Xie	04/16/02	Sierra Patent Group, Tim Brisson	Maintenance Fee due 10/16/2005

6,373,604 (NFC1P016)	Optical MUX/DEMUX	Ping Xie	04/16/02	Cary & Kelly, Charles Cary	Maintenance Fee due 10/16/2005
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US Patent Applications Filed		Inventors	Date Filed	Application #	Responsible Firm and Attorney
Identification #	Title				
NFI0032 (10629-799)	Compact Optical Isolator Arrays	Ping Xie, Yonglin Huang	07/01/99	09/346,639	WSGR, David Abraham
NFI0042US (5717-01100)	Integrated Isolator Fused Coupler Method and Apparatus	<del>Ping Xie, Yonglin</del> Huang, Peter Chen	12/10/99	09/458,868	Conley, Rose & Tayon, Noel Kivlin
NFCS-99-004	Microbend Fused Fiber Coupler Method and Apparatus	Peter Chen	12/22/99	09/471,583	Sierra Patent Group, Tim Brisson
NFC1P016X1	Passive Thermal Stabilization For An Optical MUX/DEMUX	Ping Xie	01/06/00	09/479,455	Cary & Kelly, Charles Cary
NFCS-99-005	Thermal Compensated Compact Bragg Grating Filter	Peter Chen	02/17/00	09/507,119	Sierra Patent Group, Tim Brisson
NFCS-99-003	A Miniature Dense Wavelength Division Multiplexer Using Microbend Couplers	Peter Chen	07/07/00	09/612,088	Sierra Patent Group, Tim Brisson
NFCS-00-011	Fiber Optical Pigtail Geometry For Improved Extinction Ratio of Polarization Maintaining Fibers	Ping Xie, Yonglin Huang, Sal Tiscareno	07/17/00	09/617,736	Sierra Patent Group, Tim Brisson
NFC1P018	Method and Apparatus for Compensating an Optical Filter	Brad Bettman, Ping Xie, Peter Chen	07/18/00	09/617,790	Cary & Kelly, Charles Cary
NFC1P028	A Method And Apparatus For Parallel Optical Processing	Ping Xie, Sal Tiscareno	09/12/00	09/659,803	Cary & Kelly, Charles Cary
NFCS-00-012	Improved Polarization Beam Combiner/Splitter	Ping Xie, Tim Day	09/12/00	09/660,258	Sierra Patent Group, Tim Brisson
10629-794	Optical Circulators Using Beam Angle Turners	Ping Xie, Yonglin Huang	09/08/00	09/658,854	WSGR, David Abraham

NFCS-00-016	Optical Polarization Beam Combiner/Splitter	Yonglin Huang, Ping Xie	10/30/00	09/702,280	Sierra Patent Group, Tim Brisson	Reply to Office Action due 07/09/02
NFI0032 CNT (10629-795)	Compact Optical Isolator Arrays	Ping Xie, Yonglin Huang	10/13/00	09/687,574	WSGR, David Abraham	Reply to Office Action due 07/10/2002
NFCS-00-013	Precision Optical Filter With A Ball-End Joint	Ping Xie, Kevin Zhang, Robert Burn	11/14/00	09/713,634	Sierra Patent Group, Tim Brisson	N/A
NFC1P028X1	A Method And Apparatus For Parallel Optical Processing For Dual Port Devices	Ping Xie, Sal Tiscareno	02/26/01	09/792,920	Cary & Kelly, Charles Cary	N/A
NFC1P039	Method And Apparatus For An Optical Filter	Ping Xie, Simon Wu, Yalan Mao, Wei Wang, Brad Bettman, Nadim Matur	06/11/01	09/879,028	Cary & Kelly, Charles Cary	N/A
NFI0096U (NFCS-00-020, NFCS-01-025)	Dual-Stage Optical Isolator Minimized Polarization Mode Dispersion And Simplified Fabrication Process	Yonglin Huang, Liren Du, Meng Ma, Shuyun Huang	07/05/01	09/900,092	Sierra Patent Group, Tim Brisson	N/A
NFI0095U (5717-01301)	Method And Apparatus For A Polarization Beam Splitter/Combiner With An Integrated Optical Isolator	Yonglin Huang, Shuqing (Mary) Ma, Meng (Maggie) Ma	07/05/01	09/800,091	Conley, Rose & Tayon, Noel Kivlin	N/A
NFCS-00-014	Optical Isolator With Reduced Insertion Loss And Minimized Polarization Mode Dispersion	Yonglin Huang, Ping Xie, Xin Luo, Liren Du	07/05/01	09/800,713	Sierra Patent Group, Tim Brisson	N/A
NFC1P039CI P	Method And Apparatus For An Optical Filter	Ping Xie, Simon Wu, Yalan Mao, Wei Wang, Brad Bettman, Nadim Matur	08/31/01	09/944,037	Cary & Kelly, Charles Cary	N/A
NFCS-01-027	Method And Apparatus For Precision Tuning An Optical Filter Using A Ball-End Joint	Kevin Zhang, Ping Xie	08/28/01	09/841,474	Sierra Patent Group, Tim Brisson	Foreign Filing due 08/28/02
10629-802	Compact Polarization Insensitive Circulators with Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	08/31/01	09/944,593	WSGR, David Abraham	Received Notice of Publication 03/12/2002, Pub. No. US-2002-0024728-A1



NFI0130US (50923-2000-200)	Mismatched Mode Field Diameter Device	Ping Xie, Kevin Zhang	10/05/01	09/872,517	MOFO, Steve Durant	Foreign Filing due 10/05/02
NFI0131U (50923-2000-100)	Integrated Pump Combining Module	Ping Xie	10/05/01	09/972,527	MOFO, Steve Durant	Foreign Filing due 10/05/02
NFI0065 (5717-01601)	Fiber Optical Devices With Extra High Power Handling Capability	Yonglin Huang, Kevin Zhang, Ping Xie	01/09/02	10/042,935	Conley, Rose & Tayon, Noel Kivlin	N/A
NFI0069 (5717-01401)	Optical Polarization Beam Splitter/Combiner With Isolation In The Backward Optical Path	Yonglin Huang, Qi (Brian) Deng, Liren Du	02/14/02	10/075,333	Conley, Rose & Tayon, Noel Kivlin	N/A

Responsible Firm and Attorney

#### Foreign Applications Filed

		Ping Xie, Yonglin Huang	08/17/99	PCT/US99/18739	PCT Application	WSGR, David Abraham	Application filed in Japan and Europe
10629-785	Compact Polarization Insensitive Circulators With Simplified Structure and Low Polarization Mode Dispersion (also covers Circulators Using Beam Angle Turners)						
10629-800 P010800EP MJH	Compact Polarization Insensitive Circulators With Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	08/17/99	99942271.0	European Application	WSGR, David Abraham	N/A
10629-799	Compact Polarization Insensitive Circulators With Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang		2000-565436	Japanese Application	WSGR, David Abraham	N/A
10629-790	Compact Polarization Insensitive Circulators With Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	10/12/99	PCT/US99/23759	PCT Application	WSGR, David Abraham	Application filed in Europe
P011386EP MJH ZXM	Compact Polarization Insensitive Circulators With Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	05/11/01	99969250.2 (PCT/US99/23759)	European Application	D. Young & Co., Miles Haines	Annuitly due Oct. 2002
NFC1P016W O	Optical MUX/DEMUX	Ping Xie	09/27/00	PCT/US00/41022	PCT Application	D. Young & Co., Miles	N/A

P011438EP MJH ZXM	Optical MUX/DEMUX	Ping Xie	05/08/01	00992467.1 PCT/US00/41022	European Application	Haines D. Young & Co., Miles Haines	Annuity due Sep. 2002
5717-01101 (NFCS-99- 008PCT)	Integrated Isolator Fused Coupler Method And Apparatus	Ping Xie, Yonglin Huang, Peter Chen	12/05/00	PCT/US00/33051	PCT Application	Conley, Rose & Tayon, Noel Kivlin	National Phase filing due 06/10/02
NF0051PCT (NFCS-00- 011PCT)	Fiber Optical Pigtail Geometry For Improved Extinction Ratio of Polarization Maintaining Fibers	Ping Xie, Yonglin Huang, Sal Tiscareno	07/17/01	PCT/US01/22762	PCT Application	Sierra Patent Group, Tim Brisson	File response to opinions if any by 08/17/02; Ch. II, National Phase Filing due 1 month, 12/17/02
NF0058PCT (NFCS-99- 013PCT)	Precision Optical Filter With Ball-End Joint	Ping Xie, Kevin Zhang, Robert Burn	11/09/01	PCT/US01/51189	PCT Application	Sierra Patent Group, Tim Brisson	Correct Defects due 05/04/2002; Ch. II Demand due 06/14/02; File response to opinions if any by 12/14/02
NFCS-00- 014PCT	Optical Isolator With Reduced Insertion Loss And Minimized Polarization Mode Dispersion	Yonglin Huang, Ping Xie, Xin Luo, Liren Du	10/05/01	PCT/US01/31680	PCT Application	Sierra Patent Group, Tim Brisson	Ch. II Demand due 05/13/02; File response to opinions if any by 11/13/02

NF10095U (5717-01302) (NFCS-01-024)	Method And Apparatus For A Polarization Beam Splitter/Combiner With An Integrated Optical Isolator	Yonglin Huang, Shuqing (Mary) Ma, Meng (Maggie) Ma	01/10/02	PCT/US02/00901	PCT Application	Conley, Rose & Tayon, Noel Kivlin	Ch. II Demand due 08/10/02; If Ch. II Demand not filed then National Phase filing due 09/10/02
NFC1P039CI PWO	Method And Apparatus For An Optical Filter	Ping Xie, Simon Wu, Yalan Mao, Wei Wang, Brad Bettman, Nadim Matuf	02/08/02	PCT/US02/03717	PCT Application	Cary & Kelly, Charles Cary	Ch. II Demand due 09/14/02; If Ch. II Demand not filed then National Phase filing due 10/14/02
NF10069PCT (5717-01402) (NFCS-01-025P)	Optical Polarization Beam Splitter/Combiner With Isolation In The Backward Optical Path	Yonglin Huang, Qi (Brian) Deng, Liren Du	02/14/02	PCT/US02/04215	PCT Application	Conley, Rose & Tayon, Noel Kivlin	Ch. II Demand due 09/14/02; If Ch. II Demand not filed then National Phase filing due 10/14/02

#### Provisional Applications

NFC1P039P	Low Dispersion, Low Channel Cross-Talk Interleaver	Ping Xie, Simon Wu, Yalan Mao, Wei Wang, Brad Bettman	07/05/01	60/303,705	Provisional Application	Cary & Kelly Charles Cary
NF10150P (50923-3000-500)	Integrated WDM Coupler For Duplex Communication	Yonglin Huang, Shuqing Ma, Qi Deng, Bing Zhang	03/15/02	Not yet assigned	Provisional Application	MOFO, Steve Durant

# Invention Disclosures

NFI0148 (NFC1P039X (1))	Method And Apparatus For An Optical Multiplexer And Demultiplexer With An Optical Processing Loop	Ping Xie, Simon Wu, Haisheng Rong, Kevin Zhang, Yalan Mao, Wei Wang, Brad Bettman	Disclosure (application has been drafted)	Cary & Kelly, Charles Cary	May want to claim priority to Provisional 60/303,705 filed 07/05/01 or Utility 09/879,028 filed 08/11/01 and 09/944,037 filed 08/31/01
NFI0150 (50923-2000-500)	Integrated WDM Coupler For Duplex Communication	Yonglin Huang, Shuqing Ma, Qi Deng, Bing Zhang, Liren Du	Disclosure (application has been drafted)	MOFO, Steve Durant	Will want to claim priority to Provisional filed on 03/15/02
NFI0162	Hybrid Cell	Tengda Du, Xin Luo, Ping Xie, Evan Green	Disclosure		
NFI0163	PM Coupler	Jian He, Ping Xie	Disclosure		
NFI0164	PDL Loop	Jian He, Ping Xie, Chester Chien	Disclosure		
NFI0165	High Channel Isolation WDM	Zhicheng Li, Yingsong Wang	Disclosure		
NFI0166	Array PBC	Qi Deng, Liren Du, Shuqing (Mary) Ma, Bing Zhang, Xiwen Wang, Yonglin Huang	Disclosure		
NFI0167	OADM and Array OADM	Liren Du, Xiwen Wang, Bing Zhang, Qi (Brian) Deng, Shuqing (Mary) Ma, Yonglin Huang	Disclosure		

NFI0168	Optical Polarization Beam Combiner and Isolator Array Polarization Beam Combiner and Isolator	Qi (Brian) Deng, Xiwen Wang, Bing Zhang, Liren Du, Shuqing (Mary) Ma, Yonglin Huang		Disclosure		
NFI0169	Collimator with Ball-Joint for Better Optical Alignment and Bonding	Qi (Brian) Deng		Disclosure		